

PATENT APPLICATION SERIAL NO. 10-030884

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

01/18/2002 UEDUVIJE 00000019 10030504

01 FC:970	890.00 OP
02 FC:966	198.00 OP

Adjustment date: 04/22/2002 MNGUYEN
01/18/2002 UEDUVIJE 00000019 10030504

01 FC:970	-890.00 OP
02 FC:966	-198.00 OP

04/22/2002 MNGUYEN 00000118 10030504

01 FC:971	445.00 OP
02 FC:967	99.00 OP

Repln. Ref: 04/22/2002 MNGUYEN 0014335600

DAN:033125 Name/Number:10030504

FC: 704 \$544.00 CR

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

Not Yet Known 10/030504


INTERNATIONAL APPLICATION NO.
PCT/IB00/00918INTERNATIONAL FILING DATE
July 7, 2000PRIORITY DATE CLAIMED
July 9, 1999TITLE OF INVENTION
DNA Polymorphisms in Sterol Regulator Element Binding ProteinsAPPLICANT(S) FOR DO/EO/US
André R. Miserez

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (unsigned)
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Please see attached page 3.

U.S. APPLICATION NO. (If known, see 37 CFR 1.51) Not Yet Known 10/05/00 04		INTERNATIONAL APPLICATION NO. PCT/IB00/00918		531 Rec'd PCT/PT		08 JAN 2002 ATTORNEY'S DOCKET NUMBER 0796/66513																															
21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... \$1040.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$890.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =						CALCULATIONS PTO USE ONLY																															
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).						\$ 890.00																															
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">CLAIMS</th> <th style="width: 20%;">NUMBER FILED</th> <th style="width: 20%;">NUMBER EXTRA</th> <th style="width: 20%;">RATE</th> <th style="width: 20%;"></th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>31 - 20 =</td> <td>11</td> <td>x \$18.00</td> <td>\$ 198.00</td> </tr> <tr> <td>Independent claims</td> <td>3 - 3 =</td> <td>0</td> <td>x \$84.00</td> <td>\$ 0.00</td> </tr> <tr> <td colspan="4"></td> <td>\$ 0.00</td> </tr> <tr> <td colspan="4">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+ \$280.00</td> </tr> <tr> <td colspan="4">TOTAL OF ABOVE CALCULATIONS =</td> <td>\$ 1,088.00</td> </tr> </tbody> </table>						CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		Total claims	31 - 20 =	11	x \$18.00	\$ 198.00	Independent claims	3 - 3 =	0	x \$84.00	\$ 0.00					\$ 0.00	MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$280.00	TOTAL OF ABOVE CALCULATIONS =				\$ 1,088.00	\$ 0.00	
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TOTAL OF ABOVE CALCULATIONS =				\$ 1,088.00																																	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.						\$																															
SUBTOTAL =						\$ 1,088.00																															
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).						\$ 0.00																															
TOTAL NATIONAL FEE =						\$ 1,088.00																															
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +						\$																															
TOTAL FEES ENCLOSED =						\$ 1,088.00																															
						Amount to be refunded: \$																															
						charged: \$																															
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>1,088.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>03-3125</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.																																					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.																																					
SEND ALL CORRESPONDENCE TO: <div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"> Donald S. Dowden Cooper & Dunham LLP 1185 Avenue of the Americas New York, New York 10036 (212) 278-0400 </div> <div style="width: 35%; text-align: right;"> SIGNATURE  NAME Donald S. Dowden REGISTRATION NUMBER 20,701 </div> </div>																																					

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : André R. Miserez

Serial No. : Not Yet Known

Filing Date : Herewith

For : DNA Polymorphisms in Sterol Regulator Element Binding Proteins

International Application No. : PCT/IB00/00918

Priority Date Claimed : July 9, 1999

Group A.U. : Not Yet Known

Examiner : Not Yet Known

List of Other Items of Information

1. Express Mail Certificate of Mailing No. EL013823102US;
2. Copy of PCT Request;
3. Copy of PCT Demand;
4. Copy of PCT Notification of Transmittal of the International Preliminary Examination Report;
5. Copy of International Preliminary Examination Report;
6. Copy of PCT Written Opinion dated June 19, 2001;
7. Copy of Answer dated September 17, 2001;
8. Copy of PCT Notification of Receipt of Record Copy; and
9. Return Postcard.

10/030504
Docket No. 0796/66513
531160dPCT/F 08 JAN 2002
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : André R. Miserez
Serial No. : Not Yet Known
Filing Date : Herewith
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Priority Date Claimed : July 9, 1999
Group A.U. : Not Yet Known
Examiner : Not Yet Known

1185 Avenue of the Americas
New York, New York 10036
January 8, 2002.

Assistant Commissioner for Patents
Washington, D.C. 20231
BOX PCT

SIR:

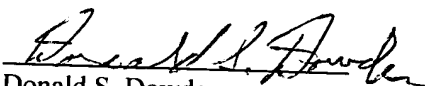
EXPRESS MAIL CERTIFICATE OF MAILING
FOR ABOVE-IDENTIFIED APPLICATION

"Express Mail" mailing label number: EL 013 823 102 US
Date of Deposit: January 8, 2002

I hereby certify that the following documents are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231: National Phase II of PCT application, including Transmittal Letter under 35 USC §371 (in duplicate); Express Mail Certificate of Mailing No. EL013823102US; Preliminary Amendment; 58-page Specification along with a sequence listing and 4 sheets of formal drawings; Copy of published international application WO 01/04352 with search report; Copy of PCT Request; Copy of PCT Demand; Copy of PCT Notification of Transmittal of the International Preliminary Examination Report; Copy of International Preliminary Examination Report; Copy of PCT Written Opinion dated June 19, 2001; Copy of Answer dated September 17, 2001; Copy of PCT Notification of Receipt of Record Copy; Declaration and Power of Attorney (unsigned); Information Disclosure Statement and Form PTO-1449; 10 References; Check in the amount of \$1,088.00; and Return Postcard.

Printed Name: JOHN ISCOA

Respectfully submitted,


Donald S. Dowden
Registration No. 20,701
Attorney for Applicant
Cooper & Dunham LLP
1185 Avenue of the Americas
New York, New York 10036
(212) 278-0400